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PTO/SB/05 (08-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office. U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. 77901

First Inventor Halligan

Title METHOD AND APPARATUS FOR DOCUMENTATION, ANALYSIS,  
AUDITING, ACCOUNTING, PROTECTION, REGISTRATION, AND  
VERIFICATION OF TRADE SECRETS

Express Mail Label No. EL642288669US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

**ADDRESS TO:**

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ \*Fee Transmittal Form (e.g. PTO/SB/17)  
(Submit an original and a duplicate for fee processing)

2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.

3. ☒ Specification Total Pages 72  
(preferred arrangement set forth below)  
- Descriptive title of the Invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table,  
or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) Total Sheets 14

5. ☒ Oath or Declaration Total Pages 3

a. ☒ Newly executed (original or copy)

b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)

i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 C.F.R.  
1.63(d)(2) and 1.33(b).

6. ☒ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)

a. ☐ Computer Readable Form (CRF)

b. Specification Sequence Listing on:

i. ☐ CD-ROM or CD-R (2 copies); or

ii. ☐ paper

c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))

10. ☐ 37. C.F.R. § 3.73(b) Statement ☐ Power of  
(when there is an assignee) Attorney

11. ☐ English Translation Document (if applicable)

12. ☐ Information Disclosure ☐ Copies of IDS  
Statement (IDS) PTO-1449 Citations

13. ☐ Preliminary Amendment

14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)

15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)

16. ☒ Other Appendix I: Functional Specification (49 pp.)

17. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment,  
or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-In-Part (CIP) Of prior application No.: \_\_\_\_\_ / \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_

Group/Art Unit: \_\_\_\_\_

**FOR CONTINUATION OR DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under  
Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.  
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

(Insert Customer No. or Attach bar code label here)

☐ Customer Number or Bar Code Label

or ☐ Correspondence address below

Name Jon P. Christensen

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Name Print/Type Jon P. Christensen Registration No. (Attorney/Agent) 34,137

Signature [Signature] Date January 10, 2001

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1c972 U.S. PTO  
01/10/01

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# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB09-12. See  
37 C.F.R. § 1.27 and 1.28

**TOTAL AMOUNT OF PAYMENT** (\$ ) 1,277

## Complete if Known

|                        |                  |
|------------------------|------------------|
| Application Number     | not yet assigned |
| Filing Date            | herewith         |
| First Named Inventor   | Halligan         |
| Examiner Name          | not yet assigned |
| Group/Art Unit         | not yet assigned |
| Attorney Docket Number | 77901            |

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit  
Account  
Number  
Deposit  
Account  
Name

23-0920

WELSH & KATZ, LTD.

- ☒ Charge any Additional Fee Required  
Under 37 CFR. 1.16 and 1.17

2. ☐ Payment Enclosed:  
☐ Check ☐ Money ☐ Other  
Order

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity<br>Fee Code | Large Entity<br>Fee (\$) | Small Entity<br>Fee Code | Small Entity<br>Fee (\$) | Fee Description        | Fee Paid |
|--------------------------|--------------------------|--------------------------|--------------------------|------------------------|----------|
| 101                      | 710                      | 201                      | 355                      | Utility filing fee     | 355      |
| 106                      | 320                      | 206                      | 160                      | Design filing fee      |          |
| 107                      | 490                      | 207                      | 245                      | Plant filing fee       |          |
| 108                      | 710                      | 208                      | 355                      | Reissue filing fee     |          |
| 114                      | 150                      | 214                      | 75                       | Provisional filing fee |          |

**SUBTOTAL (1)** (\$ ) 355

### 2. EXTRA CLAIM FEES

| Total Claims              | Extra Claims | Fee from below | Fee Paid |
|---------------------------|--------------|----------------|----------|
| 118                       | -20**= 98    | x 9            | = 882    |
| 4                         | -3**= 1      | x 40           | = 40     |
| Multiple Dependent Claims |              |                |          |

\*\*or number previously paid, if greater; For Reissues, see below

| Large Entity<br>Fee Code | Large Entity<br>Fee (\$) | Small Entity<br>Fee Code | Small Entity<br>Fee (\$) | Fee Description   |
|--------------------------|--------------------------|--------------------------|--------------------------|---|
| 103                      | 18                       | 203                      | 9                        | Claims in excess of 20                                  |
| 102                      | 80                       | 202                      | 40                       | Independent claims in excess of 3                       |
| 104                      | 270                      | 204                      | 135                      | Multiple dependent claim                                |
| 109                      | 80                       | 209                      | 40                       | Reissue independent claims over original patent         |
| 110                      | 18                       | 210                      | 9                        | Reissue claims in excess of 20 and over original patent |

**SUBTOTAL (2)** (\$ ) 922

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity<br>Fee Code  | Large Entity<br>Fee (\$) | Small Entity<br>Fee Code | Small Entity<br>Fee (\$) | Fee Description  | Fee Paid |
|---------------------------|--------------------------|--------------------------|--------------------------|--|----------|
| 105                       | 130                      | 205                      | 65                       | Surcharge-late filing fee or oath  |          |
| 127                       | 50                       | 227                      | 25                       | Surcharge-late provisional filing fee or cover sheet                       |          |
| 139                       | 130                      | 139                      | 130                      | Non-English Specification  |          |
| 147                       | 2,520                    | 147                      | 2,520                    | For filing a request for reexamination                                     |          |
| 112                       | 920*                     | 112                      | 920*                     | Requesting publication of SIR prior to Examiner action                     |          |
| 113                       | 1,840*                   | 113                      | 1,840*                   | Requesting publication of SIR after Examiner action                        |          |
| 115                       | 110                      | 215                      | 55                       | Extension for reply within first month                                     |          |
| 116                       | 390                      | 216                      | 195                      | Extension for reply within second month                                    |          |
| 117                       | 890                      | 217                      | 445                      | Extension for reply within third month                                     |          |
| 118                       | 1,390                    | 218                      | 695                      | Extension for reply within fourth month                                    |          |
| 128                       | 1,890                    | 228                      | 945                      | Extension for reply within fifth month                                     |          |
| 119                       | 310                      | 219                      | 155                      | Notice of Appeal   |          |
| 120                       | 310                      | 220                      | 155                      | Filing a Brief in support of an appeal                                     |          |
| 121                       | 270                      | 221                      | 135                      | Request for oral hearing   |          |
| 138                       | 1,510                    | 138                      | 1,510                    | Petition to institute a public use proceeding                              |          |
| 140                       | 110                      | 240                      | 55                       | Petition to revive - unavoidable   |          |
| 141                       | 1,240                    | 241                      | 620                      | Petition to revive - unintentional   |          |
| 142                       | 1,240                    | 242                      | 620                      | Utility issue fee (or reissue)   |          |
| 143                       | 440                      | 243                      | 220                      | Design issue fee   |          |
| 144                       | 600                      | 244                      | 300                      | Plant issue fee  |          |
| 122                       | 130                      | 122                      | 130                      | Petitions to the Commissioner  |          |
| 123                       | 50                       | 123                      | 50                       | Petitions related to provisional applications                              |          |
| 126                       | 240                      | 126                      | 240                      | Submission of Information Disclosure Stmt                                  |          |
| 581                       | 40                       | 581                      | 40                       | Recording each patent assignment per property (times number of properties) |          |
| 146                       | 710                      | 246                      | 355                      | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149                       | 710                      | 249                      | 355                      | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| Other fee (specify) _____ |                          |                          |                          |  |          |
| Other fee (specify) _____ |                          |                          |                          |  |          |

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)**

(\$ ) 0

## SUBMITTED BY

Name Jon P. Christensen

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34,137

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Date

January 10, 2001

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